Region 5

Overview of FY 2017 Pre-Award Activities Webinar

March 22, 2017

Webinar Logistics

- Documents referenced during presentation may be downloaded via the "File Download" box
- We will take breaks periodically to answer questions via the chat box
- Region 5 staff will responded to questions verbally during the webinar
- We will not be able to get to all questions
- FTA is recording the webinar and all questions and will develop a Webinar Q&A document to be posted on our website in mid-April

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Topic Areas to be Covered

- Prerequisites to Receiving FTA Funding
- Process of Grant making in TrAMS
- Grant Structure
- Grant Content
- Announcements / Deadlines

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Prerequisites

- Civil Rights
- Certifications & Assurances
- TrAMS User Set-Up and Timeline
- ECHO
- Q&A

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Civil Rights

- Title VI
  - Applicable with very limited exceptions (e.g. Tribal Transit)
  - General requirements applicable to all recipients
- DBE Threshold
  - $250,000 FTA-funded contracts per year (*excluding transit vehicle purchases*)
- EEO Threshold
  - 100 or more transit-related employees and (in previous FFY):
    - Request/receives capital or operating in > $1 million
    - Requests/receives planning in excess of $250,000

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Notifications/TrAMS Tasks in Civil Rights

- Civil Rights Programs not Task based – only email notification
- DBE Reports are Task Based
- TrAMS will populate a "warning" message if programs are not in a concur status.

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Certification & Assurances

- FTA recipients must annually certify that they are in compliance with Federal transit law and Federal cross-cutting requirements
- Annual list of Certifications and Assurances, located on FTA's website
- To PIN the Certifications and Assurances, an authorized grantee official and attorney must create a new PIN for use in TrAMS
- See quick-reference presentations on setting up a PIN and How to PIN Certifications and Assurances

TrAMS User Set-Up

The TrAMS User Set-Up site includes:

1. A list of FTA Local Security Managers (LSM) in each FTA region and headquarters office
2. A handbook for recipient User Managers
3. Instructions for how to request a User Manager for your organization
4. Delegation of authority templates for the User Manager and additional TrAMS roles

TrAMS User Role Assignment

Role Assignment determines what actions you take in the system and tasks assigned to you:

1. Official role will receive a task to Execute a Grant Agreement
2. FFR / MPR reporter role will receive tasks to submit Federal Financial and Milestone Progress Reports
3. FTA has created some new user roles/functions that did not exist in TEAM
4. Certain recipient roles require supporting documentation (Official, Attorney, and Submitter)

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TrAMS – TEAM User Comparison

TEAM Recipient/Grantee "Functions" seen on TEAM Request Form	Equivalent TrAMS Recipient User Group/Role	LSM Review PIN Required
NA	User Manager	NA
NA	Developer	NA
Submit	Submitter	Yes
Civil Rights/DBE Reporting	Civil Rights	NA
Execute	Official	Yes
Certify as Official	Official	Yes
Certify as Lawyer	Attorney	Yes
Certify as Both	Assign Both Attorney and Official	Yes
NA	FFR Reporter	NA
NA	MPR Reporter	NA

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TrAMS Workflow

1. Discuss grant plans with assigned pre-award grants manager at Region 5
2. Develop grant application in TrAMS
   - Have FTA grant manager review application "offline" and address all comments.
3. Transmit the application to FTA through the TrAMS task-based workflow.
4. FTA will conduct preliminary legal, technical, and civil rights reviews.
   - Application will be returned to grantee when these reviews are completed.

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TrAMS Workflow

5. Grantee will formally Submit the application
6. Region 5 staff will assign a permanent FAIN to the application and then submit to DOL for 13(c) certification
7. Once DOL certifies, Region 5 must reserve the funding, complete final management and legal review, and award the grant
8. Grantee then executes the grant.

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ECHO

- Many changes in grant numbering and reservation are tied to the interaction with the ECHO system.
- The most comprehensive resource on the interaction between TrAMS and ECHO is located on the FTA website
- The Purchase Order (PO) Number is linked with our financial management systems.

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ECHO Drawdown

- PO number used when seeking reimbursement from ECHO for your grants
- One PO number for each funding source requested in an application.
- At fund reservation, each distinct Budget Scope Code is associated with a unique, auto-generated identifier, called a "Suffix" to delineate one scope code verses other scope codes (i.e. 114-00, 117-00, etc.).

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Questions on Pre-Requisites?

- *Please use the Q&A box*
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Q & A

Process of Grant Making in TrAMS: New Grant Vs. Amendment

- New Grant:
  - New project with a scope, schedule and budget unique from existing, awarded grants.
  - Existing scope but new funding source (i.e. "super-grants" cannot be created via amendment).
- Amendment:
  - New scope of work that is related but unique from the existing scope of work in an awarded grant.
  - A change in the period of performance with additional funds for the same scope of work.
  - New scope codes and funding that does not match existing grants but part of existing scope of work or project.

Super Grants

- An application with more than one fund source
- Always consult with pre-award grants manager
- TrAMS developed in part to address the need for one grant that can include multiple funding sources for the same project scope, particularly for capital projects.

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When to Use a Super Grant

- Multiple funding programs are being used to fund related activities
- Flexing funds from FHWA flex-funding (i.e., STIP or CMAQ) for same or related projects also using an FTA program.
- When applying for multiple formula program funds apportioned under different programs in the same funding fiscal year or the prior fiscal year for the same urbanized area(s). (Section 5307, 5337, and 5339).

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When <u>Not</u> to Use a Super Grant

- Timeline/Period of Performance for different projects are not efficiently synchronized
- An application contains funding programs with different requirements e.g., DOL review or Reporting Frequency, etc.
- Recipient has unusual difficulty tracking and managing expenditures and draw-downs by funding source
  - ➢ *Important note: TrAMS does not currently allow an awarded grant with one funding source to be amended to add a second, unique funding source.*

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Super Grant Tips

- Applications still require two separate scope codes for each unique funding type, and the funds would be reserved, obligated and disbursed separately by scope to track at the program level.
- These funds must maintain their unique identity for purposes of obligating or disbursing payments.
- Before including 5310 funds in a super grant, grantees must consult with Region 5 staff at this time.

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Questions on Process of Grant Making in TrAMS?

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Q & A

Grant Structure:
Single Funding Source

Single Project
- One Activity Line Item (ALI)
- Same Type of Activities (i.e., All Capital)
- Project Benefits are Singular/Similar

Grant Structure:
Single Funding Source

Multiple Projects

- Different Types of Activities (i.e., operating, planning, capital, administration)
- Multiples modes funded (i.e., rail, bus, ferry)
- When project benefits vary
- Funds are from different UZAs, for different grantees/subrecipients or different states altogether.

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Grant Structure:
Multiple Funding Sources

Projects by Scope or Activity Types

- A single project can be used for an activity that is funded with multiple sources: Example - purchasing replacement buses with CMAQ, 5307 and 5339 funds.
- This approach can apply to operating assistance, planning, facility renovation, etc.
- Helps identify funding and reporting for major projects that may be funded with more than one source

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Grant Structure:
Multiple Funding Sources

Projects by Funding Source
- May help grantee's accounting officers
- Helps manage budget revisions
- Reduce potential issues for FTA in the reservations process

Grant Structure:
Multiple Funding Sources

Use Multiple Projects
- Activities Fall Under Identical Scope but have funds with Different Limitation Codes
- Flex funds – CMAQ and STP (applies to 5307, 5310 and 5311 grants) – Example:
  - Bus rolling stock is scope code 110-00
  - Bus Replacement ALI is funded with CMAQ
  - Bus Expansion ALI is funded with STP

Grant Structure:
Multiple Funding Sources

Use Multiple Projects - State DOT Grants
- 5310 & 5339 Both Rural & Small Urban Funds
- Section 5311 Grants
- Planning Grants - Metropolitan and State Planning (5303 & 5304 respectively)
- 5307 Grants with funds transferred from 5339 & 5311

FTA Preference

Single Project
- Easier for grantee to enter by reducing the number of project descriptions, project benefits, location, etc.
- Easier for FTA to review

Multiple Projects
- By grantee preference
- When required by FTA/TrAMS

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Q & A

Grant Content

- Attachments
- Executive Summary
- Project Description
- Extended Budget Description
- Environmental Finding(s)
- Additional guidance available on FTA Region V webpage

Attachments

- Documentation must be uploaded in TrAMS
- Most common are:
  - FTA/FHWA signed STIP letter
  - Project listing from the STIP
  - FTA signed STIP amendment letter
  - Transportation Development Credit (TDC) letter
  - Funds allocation letter from State DOT and/or Designated Recipient (if applicable)
  - Supporting Environmental documentation (if applicable)

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Executive Summary

- Provides general explanation of project(s) including:
  - Federal FY of funding
  - Type of funds to be used (Section 5307, 5311, etc)
  - Source of local funds
  - Reference to supporting documents attached
  - Project/activities including in grant application
  - See TrAMS Webpage for details on Executive Summary language concerning:
    - Period of Performance
    - Suballocation (Designated/Direct Recipients)
    - Research and Development
    - Indirect Cost Rate

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Project Description

- This section should provide more detail on your specific projects, including:
  - Federal FY of funds
  - Type of funds to be used (Section 5307, 5311, etc)
  - More details
    - If a bus garage renovation….
    - If building a transit center….
    - If constructing bus shelters….

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Extended Budget Description

- This section should include:
  - Description of project
  - Useful life information for capital items
    - For both new and/or replacement vehicles
  - Period of time covered for operating assistance
  - Dollar amount of TDC (if included)
  - STIP ID number and/or page of listed project

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Environmental Findings

- Selecting Environmental Finding (EF) at Project level vs. ALI level
- Consult pre-award grants manager if you have questions
- Additional environmental documentation required for projects that contain construction/renovation

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Q&A

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Announcements / Deadlines

- Apportionment Notice
  - Announces funding allocations
  - Provides funding Period of Availability
  - Provides information on pre-award authority
  - FY 2017 Notice published on 1/19/17 for funding through April 28, 2017

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Announcements / Deadlines

- Balances / Lapsing Funds
  - It is your responsibility to keep track of your funding balances by working with your pre-award manager
  - Keep an eye on funding Period of Availability (year of apportionment plus….)
    - 5303/5304 – 3 years
    - 5307 – 5 years
    - 5310 – 2 years
    - 5311 – 2 years
    - 5337 – 3 years
    - 5339 – 3 years

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Region 5 FY 17 Deadlines

- Grant must be in TrAMS for review by:
  - Lapsing Funds: May 19, 2017
  - Other Grants: June 2, 2017
- Grant Submission Deadline
  - Grants must be submitted in TrAMS by **July 14, 2017**
- CMAQ/STP Transfers? Please work on them ASAP!

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Next Steps

March 24: Webinar Presentation will be posted on Region 5 website

April 14: Webinar Q&A document posted on Region 5 website

Thank You !!!

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Federal Transit
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www.fta.dot.gov